



PATENT
Docket No. 373722002900
Client Ref. A039

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Laura Shires
Laura Shires

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

*3/I.D.S.
G. Stanley
12-11-01*

In the application of:

Farnaz PARHAM et al.

Serial No.: 09/894,049

Filing Date: June 28, 2001

For: METHOD AND APPARATUS FOR
CONTROLLING WAVEGUIDE
BIREFRINGENCE BY SELECTION OF
A WAVEGUIDE CORE WIDTH FOR A
TOP CLAD

Examiner: To Be Assigned

Group Art Unit: To Be Assigned

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**INFORMATION DISCLOSURE
STATEMENT UNDER 37 C.F.R. § 1.97**

Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

Pursuant to 37 C.F.R. § 1.97 and § 1.98, Applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO-1449. Copies of the documents are also submitted herewith. The Examiner is requested to make these documents of record.

This Information Disclosure Statement is submitted:

- ☐ With the application; accordingly, no fee or separate requirements are required.
- ☒ Within three months of the application filing date or before mailing of a first Office Action on the merits; accordingly, no fee or separate requirements are required.
- ☐ After receipt of a first Office Action on the merits but before mailing of a final Office Action or Notice of Allowance.
 - ☐ A fee is required. A check in the amount of * is enclosed.
 - ☐ A fee is required. Accordingly, a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.
 - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below; accordingly; no fee is believed to be due.
- ☐ After mailing of a final Office Action or Notice of Allowance, but before payment of the issue fee. Accordingly, a Petition requesting consideration of the Information Disclosure Statement, an authorization to charge our deposit account, and a Certification under 37 C.F.R. § 1.97(e) are provided herein.

Applicants would appreciate the Examiner initialing and returning the Form PTO-1449, indicating that the information has been considered and made of record herein.

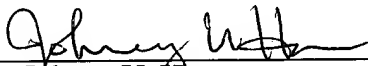
The information contained in this Information Disclosure Statement under 37 C.F.R. § 1.97 is to the best of my knowledge and is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

In the unlikely event that the transmittal letter is separated from this document and the Patent Office determines that an extension and/or other relief is required, Applicants petition for

any required relief including extensions of time and authorizes the Assistant Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to Deposit Account No. 03-1952 referencing 373722002900. However, the Assistant Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

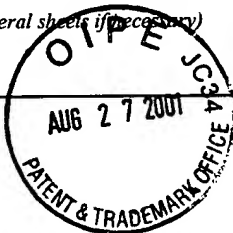
Dated: August 22, 2001

Respectfully submitted,

By: 
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Form PTO-1449 INFORMATION DISCLOSURE CITATION IN AN APPLICATION <i>(Use several sheets if necessary)</i>	Docket Number 373722002900	Application Number 09/894,049
	Applicant Farnaz PARHAMI et al.	
	Filing Date June 28, 2001	Group Art Unit To Be Assigned
	Mailing Date August 22, 2001	



U.S. PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Name	Class	Subclass	Filing Date If Appropriate
	1.	08/23/1994	5,341,444	Henry et al.			
	2.	11/14/1995	5,467,418	Dragone			
	3.	04/22/1997	5,623,571	Chou et al.			
	4.	04/28/1998	5,745,618	Li			
	5.	05/12/1998	5,751,872	Bissessur et al.			
	6.	06/16/1998	5,768,450	Bhagavatula			
	7.	11/24/1998	5,841,919	Akiba et al.			
	8.	05/04/1999	5,901,259	Ando et al.			
	9.	07/27/1999	5,930,439	Ojha et al.			
	10.	08/17/1999	5,940,555	Inaba et al.			
	11.	11/09/1999	5,982,960	Fukushima et al.			
	12.	10/24/2001	6,137,939	Henry et al.			
	13.	01/30/2001	6,181,848	Bruno et al.			
	14.	03/20/2001	6,205,273	Chen			

FOREIGN PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Country	Class	Subclass	Translation YES NO

OTHER DOCUMENTS

(including author, title, Date, Pertinent Pages, Etc.)

Examiner Initials	Ref. No.	Title
	15.	Inoue, I. et al., (2000). "Novel birefringence compensating AWG design," <i>Optical Society of America</i> , WB4-1-WB4-3.
	16.	Kilian, A. et al. (2000). "Birefringence Free Planar Optical Waveguide Made by Flame Hydrolysis Deposition (FHD) Through Tailoring of the Overcladding", <i>Journal of Lightwave Technology</i> , (2):193-198.

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not the citation conforms with MPEP 609. Draw a line through the citation if not in conformance and not considered. Include a copy of this form with next communication to applicant.

Form PTO-1449 INFORMATION DISCLOSURE CITATION IN AN APPLICATION <i>(Use several sheets if necessary)</i>	Docket Number 373722002900	Application Number 09/894,049
	Applicant Farnaz PARHAMI et al.	
	Filing Date June 28, 2001	Group Art Unit To Be Assigned
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17.	Nadler, C. K. et al (1999). "Polarization Insensitive, Low-Loss, Low-Crosstalk Wavelength Multiplexer Modules", <i>IEEE Journal of Selected Topics in Quantum Electronics</i> 5(5): 1407-1412.
18.	Okamoto, K. (2000). <i>Fundamentals of Optical Waveguides</i> . pp. 346-381.
19.	Vreeburg, C. G. M. et al. (1998). "A Low-Loss 16 Channel Polarization Dispersion-Compensated PHASAR Demultiplexer", <i>IEEE Photonics Technology Letters</i> 10(3):382-384.
20.	Yamada, H. et al. (2000). "Dispersion Resulting From Phase and Amplitude Errors in Arrayed-Waveguide Grating Multiplexers-Demultiplexers", <i>Optic Letters</i> 25(8):569-571.

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TRANSMITTAL FORM

(to be kept for all correspondence after initial filing)

Total Number Of Pages In This Submission

8 + 20
references

Application Number	09/894,049
Filing Date	June 28, 2001
First Named Inventor	Farnaz PARHAMI
Group Art Unit	To Be Assigned
Examiner Name	To Be Assigned
Attorney Docket No.	373722002900 (Client Reference A039)

ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Reply	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declarations	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	1. Form PTO-1449 + copy - 4 pages
<input checked="" type="checkbox"/> Information Disclosure Statement - 3 pages	<input type="checkbox"/> Request for Refund	2. Twenty (20) references
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	3. Two (2) return postcard
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application	Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

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SIGNATURE OF APPLICANT, ATTORNEY OR AGENT

Firm or Individual Name	Morrison & Foerster LLP, 755 Page Mill Road, Palo Alto, California 94304-1018
Signature	Johney U. Han
Date	August 22, 2001

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Laura Shires

Burden Hours Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.